



Special Education Quality Assurance

State Performance Plan Indicator 13 Secondary Transition Self-Review for Students with Disabilities

New York State Education Department
Office of Special Education
Special Education Quality Assurance
Albany, New York

March 6, 2018

Table of Contents

	<u>Page</u>
Overview of Self-Review Requirements	1
Prior to Conducting the Self-Review.....	1
Timelines for Completion of the Self-Review for Students with Disabilities	1
Directions for Conducting the Self-Review for Students with Disabilities	2
Identification of Compliance/Noncompliance.....	2
Report to NYSED	3
NYSED Review of Self-Review Monitoring Report and Correction of Noncompliance	3
Technical Assistance Resources	4

Attachments

[Attachment 1](#): Checklist to Complete the SPP Indicator 13 Secondary Transition Self-Review

[Attachment 2](#): Instructions for Completing Individual Student Record Review Form

[Attachment 3](#): Individual Student Record Review Form

[Attachment 4](#): Compliance Summary Form

[Attachment 5](#): SPP Indicator 13 Secondary Transition Self-Review Monitoring Report

Overview of Self-Review Requirements

Indicator 13 of the State Performance Plan (SPP) requires the State to annually report the percentage of youth aged 15 and older with individualized education programs (IEP) that include appropriate measurable postsecondary goals that are annually updated and based upon an age-appropriate transition assessment, transition services, including courses of study, that will reasonably enable the student to meet those postsecondary goals, and annual IEP goals related to the student's transition service needs. There also must be evidence that the student was invited to the committee on special education (CSE) meeting where transition services were to be discussed and evidence that, if appropriate, a representative of any participating agency was invited to the CSE meeting with the prior consent of the parent or student who has reached the age of majority (age 18).

This federally required measure has been selected to focus attention on how a student's education program can be planned to assist the student in making a successful transition to his or her postsecondary goals for living, further education, and employment and to help reduce the number of students with disabilities who drop out of school. Effective transition planning requires that the CSE, including the student and student's parents, identify the instruction and the career and educational experiences to motivate the student to complete his or her education and prepare the student for transition from secondary education to postsecondary life.

The New York State Education Department (NYSED) will report this information based on data from a representative sample of school districts throughout the State. NYSED has chosen to collect data through a self-review monitoring process. Beginning with the 2005-06 school year, one-sixth of the districts in the State must complete and report the results from the SPP Indicator 13 Secondary Transition Self-Review for Students with Disabilities.

Prior to Conducting the Self-Review

Prior to beginning the self-review, it is strongly recommended that the team avail itself of technical assistance available through the [Regional Special Education Technical Assistance Support Center](#) (RSE-TASC) Transition Specialist to increase its awareness of effective practices and possible improvement strategies to increase compliance with the topics under review.

Timelines for Completion of the Self-Review for Students with Disabilities

The results of this Self-Review for Students with Disabilities must be reported to NYSED by **August 31** of the school year in which the district is designated to report.

Directions for Conducting the Self-Review for Students with Disabilities

This self-review is a focused review of the content of the district's records with respect to transition planning and services for students with disabilities. The self-review focuses on requirements in the following areas:

- Development of the IEP to include:
 - Appropriate measurable postsecondary goals that are annually updated and based upon an age-appropriate transition assessment;
 - Transition services, including course of study, that will reasonably enable the student to meet those postsecondary goals; and
 - Annual IEP goals related to the student's transition services needs.
- CSE meeting:
 - Evidence that the student was invited to the CSE meeting where transition services were discussed; and
 - Evidence that, if appropriate, a representative of any participating agency was invited to the CSE meeting with prior consent of the parent or student who has reached the age of majority (age 18).

Selecting a Sample of Representative Records to be Reviewed

The education records to be reviewed must be selected from the IEPs in effect for all students with disabilities who are aged 15-21 during the school year in which the district is designated to report and for whom the district is responsible for CSE planning, including students provided special education services in district-operated programs, programs operated by a board of cooperative educational services (BOCES), and approved private programs.

- Districts with 30 or fewer students in the total population of students with disabilities aged 15-21 will review all records of this target population.
- Districts with more than 30 students in the total population of students with disabilities aged 15-21 will review a random selection of a minimum of 30 records.
- New York City Department of Education will select and review a minimum of at least 100 students' records annually using a stratified sampling methodology.

The selection of the sample of records must ensure that the data collected is representative of every eligible student across the age span of 15-21, including their disability classification, placement, race/ethnicity, and other characteristics.

Identification of Compliance/Noncompliance

To be considered in compliance, "Yes" must be checked for every citation on the Individual Student Record Review Form (Attachment 3).

If the school district has instances of noncompliance, when "No" has been checked on any citation for any one student, then the district must ensure it addresses the specific instance(s) of noncompliance. The correction of identified noncompliance must be

completed as soon as possible, but not later than one year from the date the noncompliance was reported to NYSED.

Report to NYSED

The SPP Indicator 13 Secondary Transition Self-Review Monitoring Report (Attachment 5) must be submitted electronically. To complete this report, go to the [PD Data System](http://pd.nysed.gov) webpage (<http://pd.nysed.gov>) and log in using the same user identification and password as assigned for PD data submissions. Click on "Secondary Transition Self-Review Monitoring Report" and follow the directions for completion and submission.

Pursuant to the New York State Archives and Records Administration's Records Retention and Disposition Schedule ED-1, the school district must maintain complete documentation of its review for a period of **seven years**. This documentation is subject to review by NYSED and, therefore, should be maintained in an easily retrievable and organized manner.

NYSED Review of Self-Review Monitoring Report and Correction of Noncompliance

NYSED will review the electronically submitted data from the SPP Indicator 13 Secondary Transition Self-Review Monitoring Report (Attachment 5).

If the school district reports to NYSED that, based on its self-review, the district has one or more areas of noncompliance, NYSED will notify the district that it must correct all instances of noncompliance as soon as possible, but not later than one year from the identification of the noncompliance (i.e., date reported to NYSED). NYSED will provide periodic notifications to the school district to ensure correction of noncompliance within one year.

Once noncompliance is identified during the self-review, the district must:

- Report to NYSED all issues of noncompliance found through the self-review process;
- Identify the steps the district will take (i.e., corrective actions and improvement activities) to correct findings of noncompliance. Documentation of these activities is not submitted to NYSED but must be maintained with the self-review documentation;
- Correct all instances of noncompliance immediately, but not later than 12 months from the date of the report submitted to NYSED; and
- Provide an assurance and documentation to NYSED that the district has corrected all issues of noncompliance within one year from the date reported to NYSED.

Attachments

Attachment 1: Checklist to Complete the SPP Indicator 13 Secondary Transition Self-Review is a checklist of key steps for completing this self-review. Three forms (Attachments 3, 4, and 5) are completed as part of this self-review monitoring process.

Attachment 2: Instructions for Completing Individual Student Record Review Form will provide the district with guidance on reviewing the individual student records to assist in determining whether a citation is determined compliant or noncompliant.

Attachment 3: Individual Student Record Review Form guides the collection of information from each student's record. Using Attachment 3, a determination must be made whether the regulatory requirement was or was not met by the record for each individual student. One Attachment 3 form should be completed separately for each student record reviewed. The Attachment 3 forms are not submitted to NYSED but are collectively used to determine compliance and are kept by the district as documentation.

Attachment 4: Compliance Summary Form is the form on which the district must document its compliance findings. The district should use these data to identify actions it will take to address compliance issues.

Attachment 5: SPP Indicator 13 Secondary Transition Self-Review Monitoring Report is a sample of the electronic reporting form the school district will complete to document the results of the district's self-review to NYSED. The district will report the number of student records that contain appropriate transition content, and for each regulatory requirement, the district will document its findings of compliance or noncompliance. **The data from Attachment 5 must be submitted electronically to NYSED by August 31.**

Technical Assistance Resources

[Transition Specialists at the Regional Special Education Technical Assistance and Support Center \(RSE-TASC\)](http://www.p12.nysed.gov/specialed/techassist/rsetasc/tslist.htm)

<http://www.p12.nysed.gov/specialed/techassist/rsetasc/tslist.htm>

[Special Education Quality Assurance Regional Offices](http://www.p12.nysed.gov/specialed/quality/regassoc.htm)

<http://www.p12.nysed.gov/specialed/quality/regassoc.htm>

[Transition Webpage](http://www.p12.nysed.gov/specialed/transition/)

<http://www.p12.nysed.gov/specialed/transition/>

[Guide to Quality IEP Development and Implementation](http://www.p12.nysed.gov/specialed/formsnotices/IEP/home.html)

<http://www.p12.nysed.gov/specialed/formsnotices/IEP/home.html>

[Individualized Education Program PowerPoint and Questions and Answers](http://www.p12.nysed.gov/specialed/formsnotices/IEP/training/home.html)

<http://www.p12.nysed.gov/specialed/formsnotices/IEP/training/home.html>

[State Performance Plan](#)

<http://www.p12.nysed.gov/specialed/spp/>

[Frequently Asked Questions - State Performance Plan Indicator #13](#)

<http://www.p12.nysed.gov/specialed/spp/13faqs.htm>

[Transition Source](#)

<https://www.transitionsource.org/>

Checklist to Complete the SPP Indicator 13 Secondary Transition Self-Review

Activity	Date Activity was Complete	Recommendations and Required Components of the Review
School superintendent or designee selects the team members to conduct the self-review.		<ul style="list-style-type: none"> • Identify a team leader for the review process. • Select a review team. Team members may include a director of special education, school principal, special education teacher, general education teacher, CSE chairperson, and/or a school psychologist.
Conduct an initial meeting of the review team to discuss timelines for the review and the process to collect and review the required information.		<ul style="list-style-type: none"> • Assign staff responsible to: <ul style="list-style-type: none"> ○ Identify the sample of students; and ○ Complete the student record reviews. • Identify the process to complete the review and determine due dates. • Establish meeting dates to review the results of the self-review.
Identify sources of data and information that must be reviewed.		<ul style="list-style-type: none"> • Each section of the self-review protocol identifies specific documentation in the student's record that must be reviewed.
Select a sample of student records to be reviewed.		<ul style="list-style-type: none"> • Select the sample of records to review from all students with disabilities aged 15-21 who are provided special education services in district-operated programs or under contract with other service providers during the school year in which the district is designated to report. • It is recommended that at least two staff review each student's record to enhance validity and reliability of the review findings.
Complete the Individual Student Record Review Form (Attachment 3) for each student.		<ul style="list-style-type: none"> • Referencing Attachment 2 for guidance, review files, including IEPs, and record findings for each student on the Individual Student Record Review (Attachment 3).
Complete the Compliance Summary Form (Attachment 4)		<ul style="list-style-type: none"> • Assign one individual to complete the Compliance Summary Form (Attachment 4) using data from all of the Individual Student Record Review Compliance Summary forms (page 6 of Attachment 3).

Activity	Date Activity was Complete	Recommendations and Required Components of the Review
<p>Convene a meeting of the review team to discuss the findings and analyze the data to identify the specific nature and extent of the areas in need of improvement.</p>		<ul style="list-style-type: none"> • Go back to the Compliance Summary Form (Attachment 4): <ul style="list-style-type: none"> ○ Document compliance and noncompliance; ○ Describe the specific details of noncompliance, including the name of the student(s); ○ Identify what must be corrected and how it will be corrected; ○ Set a timetable for correction; and ○ Identify and document improvement activities (e.g., staff development) to be used by the district to correct noncompliance. • This information is not submitted to NYSED but must be maintained with the self-review documentation. • All noncompliance must be corrected no later than one year from the date of identification.
<p>Submit data from the signed SPP Indicator 13 Secondary Transition Self-Review Monitoring Report (Attachment 5) to NYSED.</p>		<p>By August 31</p> <ul style="list-style-type: none"> • Electronically submit data to NYSED. • To submit data from this form, go to the PD Data System webpage (http://pd.nysed.gov). • The Superintendent or Chief School Officer of the school district must verify that the report to be submitted electronically to NYSED provides accurate data and information. • Print the report after submitting to NYSED for record-keeping purposes.

Instructions for Completing Individual Student Record Review Form¹

Item #	Citation	Regulatory Requirement
1	§200.4(d)(2)(ix)(a)(2)	The IEP includes appropriate measurable postsecondary goals based upon age-appropriate transition assessments relating to training, education, employment, and, where appropriate, independent living skills.
<p>Questions to determine compliance:</p> <p>1a. Are there appropriate measurable postsecondary goals in the areas of training, education, employment, and, where appropriate, independent living skills?</p> <p>1b. Are the postsecondary goals reviewed and updated annually, as appropriate?</p> <p>1c. Is there evidence that the measurable postsecondary goals were based on age-appropriate transition assessment(s)?</p>		
<p>Instructions:</p> <p><u>Question 1a.</u></p> <p>Find the measurable postsecondary goals for this student.</p> <p>✓ If there are appropriate measurable postsecondary goals that address:</p> <ul style="list-style-type: none"> ○ Training after high school, education after high school, employment after high school, and, where appropriate, independent living skills after high school, and ○ If the identified postsecondary goals for training, education, employment, and, where appropriate, independent living skills appear to be appropriate for the student, based on other information regarding Present Levels of Academic and Functional Performance and/or the student's strengths, preferences, and interests, check "Yes." <ul style="list-style-type: none"> ▪ Note: The postsecondary goals must be stated in measurable terms, such as "will," "is going to," etc., <u>not</u> "wants to," "would like to." ▪ 39. When would measurable postsecondary goals related to independent living skills not be appropriate? Many students with disabilities have the skills, knowledge and supports necessary to live independently as adults. If the Committee determines that there is not a need in this area, then the IEP does not need to include a postsecondary goal for independent living. In making this determination, the Committee should consider the student's level of independent skills in such areas as shopping, managing a budget, renting an apartment, driving or taking public transportation, engaging in community-based recreational activities, etc.² <p>✓ If a student's postsecondary goals in the areas of training and education address both training for a career and other education after high school (e.g., enrollment in an adult education program focused on both job and independent living skills, enrollment in a college program in preparation for a career in architecture), check "Yes."</p> <ul style="list-style-type: none"> ○ <i>"it may not always be necessary for the student to have separate postsecondary goals for training and education in these instances. Based on the individual needs of the student and the student's plans after leaving high school, it may be reasonable for a CSE Team to interpret the areas of training and education as overlapping in developing postsecondary goals for a student. In these instances, a CSE Team could develop a combined postsecondary goal in the areas related to training and education. Employment is a distinct activity from the areas related to training and education, and each student's IEP must include a separate postsecondary goal in the area of employment."</i> For further information, see the Office of Special Education and 		

¹ Adapted from the National Technical Assistance Center on Transition's (NTACT) [Instructions for Completing Indicator 13 Checklist](https://transitionta.org/sites/default/files/transitionplanning/NSTTAC_ChecklistFormA.pdf) (https://transitionta.org/sites/default/files/transitionplanning/NSTTAC_ChecklistFormA.pdf)

² [Questions and Answers on Individualized Education Program \(IEP\) Development, The State's Model IEP Form and Related Documents](http://www.p12.nysed.gov/specialed/formsnotices/IEP/training/answers-postsecond.htm) (http://www.p12.nysed.gov/specialed/formsnotices/IEP/training/answers-postsecond.htm)

Rehabilitative Services' [Questions and Answers on Secondary Transition](https://idea.ed.gov/uploads/Transition.Q&A.September_2011_FINAL.pdf) (Revised September 2011, New Section B)

(https://idea.ed.gov/uploads/Transition.Q&A.September_2011_FINAL.pdf).

- ✓ If there are postsecondary goals that address training after high school, education after high school, employment after high school, and, where appropriate, independent living skills after high school but these goals are not measurable, check "No."
- ✓ If there is a misalignment between the student's postsecondary goals based on the information available (e.g., present levels of performance, student strengths, student interests, student preferences), check "No."
- ✓ If there is not a postsecondary goal that addresses training after high school, check "No."
- ✓ If there is not a postsecondary goal that addresses education after high school, check "No."
- ✓ If there is not a postsecondary goal that addresses employment after high school, check "No."

Question 1b.

- ✓ If the postsecondary goals for training, education, employment, and, where appropriate, independent living skills are documented in the student's current IEP, check "Yes."
- ✓ If the postsecondary goals for training, education, employment, and where appropriate, independent living skills are not documented in the student's current IEP, check "No."
- ✓ If this is the student's first IEP that addresses secondary transition services because the student turned age 15, it is considered an update for purposes of this review, so check "Yes."

Question 1c.

Find the transition information in the IEP, including information related to assessment(s) (may need to refer to student file for assessment information).

- ✓ For each postsecondary goal, if there is evidence that at least one age-appropriate transition assessment was used to provide information on the student's needs, strengths, preferences, and interests regarding the postsecondary goals, check "Yes."
- ✓ *Minimally*, for students age 12 (and those referred to special education for the first time who are age 12 and over), an assessment includes a review of school records and teacher assessments and parent and student interviews to determine vocational skills, aptitudes, and interests.
- ✓ For each postsecondary goal, if there is no evidence that age-appropriate transition assessment(s) provided information on the student's needs, taking into account the student's strengths, preferences, and interests (regarding the postsecondary goals), check "No."
- ✓ If a postsecondary goal area was addressed in Question 1a but was not measurable and if there is age-appropriate transition assessment information from one or more sources regarding the student's needs, taking into account the student's strengths, preferences, and interests (regarding this postsecondary goal), check "Yes."
- ✓ If a postsecondary goal area was addressed in Question 1a but was not measurable and if there is **not** age-appropriate transition assessment information provided on the student's needs, taking into account the student's strengths, preferences, and interests (regarding this postsecondary goal), check "No."

Item #	Citation	Regulatory Requirement
2	§200.4(d)(2)(ix)(a)(4)	The IEP includes needed activities to facilitate the student's movement from school to post-school activities, including: instruction, related services, community experiences, the development of employment and other post-school adult living objectives, and when appropriate, acquisition of daily living skills and functional vocational evaluation.
Questions to determine compliance:		
2a. Are there transition services in the IEP that will reasonably enable the student to meet his or her postsecondary goals?		
Instructions:		
Find where transition services/activities are listed in the IEP:		
<ul style="list-style-type: none"> ✓ For each postsecondary goal, if there is a transition service listed that will enable the student to meet the postsecondary goal, check "Yes." Transition services may include instruction, related service, community experience, development of employment and other post-school adult living objectives, and, if appropriate, acquisition of daily living skill(s) and provision of a functional vocational evaluation. <ul style="list-style-type: none"> ○ If a transition service in the coordinated set of activities is considered by the CSE but determined not necessary or appropriate to help the student achieve his/her measurable postsecondary goals, that area may be left blank. However, if all areas are left blank, the district is noncompliant with this citation. ✓ For each postsecondary goal, if there are no transition services that relate to a specific postsecondary goal listed in the IEP that will enable the student to meet the postsecondary goal, check "No." Transition services may include instruction, related service, community experience, development of employment and other post-school adult living objectives, and, if appropriate, acquisition of daily living skill(s) and provision of a functional vocational evaluation. <ul style="list-style-type: none"> ○ The IEP must identify any related services (e.g., rehabilitation counseling services, school social work, orientation and mobility services) the student may need as a transition service to support the student in attaining the projected post-school outcomes. (Related services recommended as a transition activity must also be documented under the IEP section "Special Education Program/Services.") ✓ If a postsecondary goal area was addressed in Question 1a but was not measurable and there is a transition service that will enable the student to meet that postsecondary goal, check "Yes." ✓ If a postsecondary goal area was addressed in Question 1a but was not measurable and there are no transition services listed that will enable the student to meet that postsecondary goal, check "No." 		

Item #	Citation	Regulatory Requirement
3	§200.4(d)(2)(ix)(a)(3)	The IEP includes a statement of the transition services needs of the student that focuses on the student's courses of study.
<p>Questions to determine compliance:</p> <p>3a. Do the transition services include courses of study that will reasonably enable the student to meet his or her postsecondary goals?</p>		
<p>Instructions:</p> <p>Locate the course of study (instructional program of study) or list of courses of study and transition services needs in the student's IEP.</p> <p>✓ Are the courses of study a multi-year description of coursework from the student's current to anticipated exit year that is designed to help achieve the student's desired post-school goals? If yes, go to next instruction bullet. If no, check "No."</p> <ul style="list-style-type: none"> ○ 43. How do we distinguish between instruction and course of study? According to federal guidance from November 16, 2006, "<i>Instruction is a component of a transition program that 'the student needs to receive in specific areas to complete needed courses, succeed in the general curriculum and gain needed skills'</i>" (Storms, O'Leary, & Williams, 2000, Transition Requirements: A Guide for States, Districts, Schools, Universities and Families. University of Oregon, Western Regional Resource Center, p.28). "<i>Courses of study are 'a multi-year description of coursework (necessary) to achieve the student's desired post-school goals'</i>" (Storms, O'Leary, & Williams, 2000, Transition Requirements, p.8). For example, courses of study could include a specific CTE sequence leading to an industry credential. The courses of study may include that the student is taking required curriculum to work toward a high school diploma. ○ Stating that a student is working toward a Career Development and Occupational Studies Commencement Credential without a description of courses the student is taking is not sufficient to check "Yes" for this question. <p>✓ Do the courses of study align with the student's identified postsecondary goals? If yes, check "Yes." If no, check "No."</p>		

Item #	Citation	Issue
4	§200.4(d)(2)(iii)(a)	The IEP shall list measurable annual goals , including academic and functional goals, consistent with the student's needs and abilities.
Question to determine compliance:		
4a. Does the IEP contain annual goal(s) related to the student's transition services needs?		
Instructions:		
Find the annual goals, or, for students taking the New York State Alternate Assessment, short-term objectives in the IEP.		
<ul style="list-style-type: none"> ✓ For each of the postsecondary goal areas identified in the student's IEP, if there is an annual goal or short-term objective included in the IEP related to the student's transition services needs, check "Yes." <ul style="list-style-type: none"> ○ There does not need to be an annual goal written specifically for transition. Consider what skills and knowledge will be required for the student to achieve the postsecondary goal. ○ One annual goal may link to more than one postsecondary goal. ✓ For each of the postsecondary goals identified in the student's IEP, if there is no annual goal or short-term objective included in the IEP related to the student's transition services needs, check "No." ✓ If a postsecondary goal area was addressed in the student's transition services needs and an annual goal is included in the IEP related to the student's transition services needs, even if it is not measurable, check "Yes." ✓ If a postsecondary goal area was addressed in the student's transition services needs, but was not measurable, and there is no annual goal included in the IEP related to the student's transition service needs, check "No." 		

Item #	Citation	Regulatory Requirement
5	§200.4(d)(4)(i)(c)	<p>If the purpose of a CSE meeting is to consider the postsecondary goals for the student and the transition services needed to assist the student in reaching those goals, the school district invites the student. If the student does not attend, the district takes steps to ensure that the student's preferences and interests are considered.</p> <p><u>To the extent appropriate</u> and with parental consent or consent of a student 18 years of age or older, the school district invites a representative of any participating agency that is likely to be responsible for providing or paying for transition services. If an agency invited to send a representative to a meeting does not do so, the district takes steps to involve the other agency in the planning of any transition services.</p>
<p>Questions to determine compliance:</p> <p>5a. Is there evidence that the student was invited to the CSE meeting where transition services were discussed?</p> <p>5b. If appropriate, is there evidence that a representative of any participating agency (that was or is likely to be responsible for providing or paying for transition services) was invited to the CSE meeting with the prior consent of the parent or student who has reached the age of majority (age 18)?</p>		
<p>Instructions:</p> <ul style="list-style-type: none"> ✓ Locate the evidence that the student was invited (e.g., a copy of the student's invitation to the CSE meeting or written documentation of a verbal invitation to the student). Was the student invitation signed (by the school district) and dated prior to the date of the CSE meeting? If yes, check "Yes." If no, check "No." ✓ Locate where persons and/or agencies responsible are listed on the IEP. <ul style="list-style-type: none"> ○ Are there transition services listed in the IEP that are likely to be provided or paid for by an outside agency? If yes, continue with next instruction bullet. If no, check "NA." ○ Was parent consent or student consent (once student has reached the age of majority (age 18)) to invite an outside agency(ies) obtained? If yes, continue with next instruction bullet. If no, check "NA." ○ If there is evidence that agency(ies) for which parent/student had given their consent to invite were invited to the CSE meeting to discuss transition, check "Yes." ○ If there is no evidence that agency(ies) for which parent/student had given their consent to invite were invited to the CSE meeting to discuss transition, check "No." ○ If it is too early to determine if this student will need outside agency involvement or there are no transition services in the IEP that will likely be provided or paid for by an outside agency (e.g., the student does not meet the age or grade criteria for engagement with certain agencies or there was evidence of a CSE discussion that the student is too young to need participation of adult agencies the year the IEP was in effect, but may need these when the student is older), check "NA." 		

Individual Student Record Review Form

School District:

Building:

Person Completing Form:

Date of Record Review:

Student Name/ID:	DOB:
School/Grade/Program:	Classification:
Type of Diploma Anticipated:	Gender:

Directions:

Individual student records must be reviewed for evidence of the planning for, discussion of, recommendation for, and provision of transition services that will reasonably enable the student to meet his/her measurable postsecondary goals. Each compliance issue must have a notation for each student record reviewed.

- Check "Yes" in the column if the item is present and meets compliance.
- Check "No" in the column if the item is missing or if the item does not meet compliance.
- In the "Source of Data/Comments" row, indicate where the data to identify compliance was found (e.g., name the section of the IEP).

Individual Student Record Review Checklist³

Item #	Citation (8NYCRR)	Regulatory Requirement
1	§200.4(d)(2)(ix)(a)(2)	The IEP includes appropriate measurable postsecondary goals based upon age-appropriate transition assessments relating to training, education, employment, and, where appropriate, independent living skills.
1a. Are there appropriate measurable postsecondary goals in the areas of training, education, employment, and, where appropriate, independent living skills?		<input type="checkbox"/> Yes <input type="checkbox"/> No
<input type="checkbox"/> Yes <input type="checkbox"/> No Can the goals be measured? <input type="checkbox"/> Yes <input type="checkbox"/> No Will the goals occur <i>after</i> the student graduates/exits from school? <input type="checkbox"/> Yes <input type="checkbox"/> No Based on the information available about this student, do the postsecondary goals seem appropriate for this student?		
<ul style="list-style-type: none"> • If yes to all three guiding questions, then check "Yes" OR if a postsecondary goal is not stated, check "No." 		
Source of Data/Comments:		
1b. Are the postsecondary goals reviewed and updated annually, as appropriate?		<input type="checkbox"/> Yes <input type="checkbox"/> No
<input type="checkbox"/> Yes <input type="checkbox"/> No Were the postsecondary goals addressed/updated in conjunction with the development of the current IEP?		
<ul style="list-style-type: none"> • If yes, check "Yes" OR if the postsecondary goals were not reviewed/updated with the current IEP, check "No." 		
Source of Data/Comments:		
1c. Is there evidence that the measurable postsecondary goals were based on age-appropriate transition assessment(s)?		<input type="checkbox"/> Yes <input type="checkbox"/> No
<input type="checkbox"/> Yes <input type="checkbox"/> No Is the use of transition assessment(s) for the postsecondary goals mentioned in the IEP or evident in the student's file?		
<ul style="list-style-type: none"> • If yes, check "Yes" OR if the postsecondary goals were not reviewed/updated with the current IEP, check "No." 		
Source of Data/Comments:		

³Adapted from the National Technical Assistance Center on Transition's (NTACT) [Indicator 13 Checklist Form A](https://transitionta.org/sites/default/files/transitionplanning/NSTTAC_ChecklistFormA.pdf) (Revised September 2012) (https://transitionta.org/sites/default/files/transitionplanning/NSTTAC_ChecklistFormA.pdf)

Item #	Citation (8NYCRR)	Regulatory Requirement
2	§200.4(d)(2)(ix)(a)(4)	The IEP includes needed activities to facilitate the student's movement from school to post-school activities, including: instruction, related services, community experiences, the development of employment and other post-school adult living objectives, and when appropriate, acquisition of daily living skills and functional vocational evaluation.
2a. Are there transition services in the IEP that will reasonably enable the student to meet his or her postsecondary goals?		<input type="checkbox"/> Yes <input type="checkbox"/> No
<input type="checkbox"/> Yes <input type="checkbox"/> No Do the transition services listed in the student's IEP that the student needs to reach the postsecondary goals include, as needed, instruction, related service(s), community experience, development of employment and other post-school adult living objectives, and, if appropriate, acquisition of daily living skills and provision of a functional vocational evaluation? • If yes, check "Yes" OR if no, check "No."		
Source of Data/Comments:		
Item #	Citation (8NYCRR)	Regulatory Requirement
3	§200.4(d)(2)(ix)(a)(3)	The IEP includes a statement of the transition services needs of the student that focuses on the student's courses of study.
3a. Do the transition services include courses of study that will reasonably enable the student to meet his or her postsecondary goals?		<input type="checkbox"/> Yes <input type="checkbox"/> No
<input type="checkbox"/> Yes <input type="checkbox"/> No Do the transition services include courses of study that align with the student's postsecondary goals? • If yes, check "Yes" OR if no, check "No."		
Source of Data/Comments:		

Item #	Citation (8NYCRR)	Regulatory Requirement
4	§200.4(d)(2)(iii)(a)	The IEP shall list measurable annual goals , including academic and functional goals, consistent with the student's needs and abilities.
4a. Does the IEP contain annual goal(s) related to the student's transition services needs?		<input type="checkbox"/> Yes <input type="checkbox"/> No
<input type="checkbox"/> Yes <input type="checkbox"/> No Does the IEP contain annual goal(s) related to the student's transition services needs?		
<ul style="list-style-type: none"> • If yes, check "Yes" OR if no, check "No." 		
Source of Data/Comments:		
Item #	Citation (8NYCRR)	Regulatory Requirement
5	§200.4(d)(4)(i)(c)	<p>If the purpose of a CSE meeting is to consider the postsecondary goals for the student and the transition services needed to assist the student in reaching those goals, the school district invites the student. If the student does not attend, the district takes steps to ensure that the student's preferences and interests are considered.</p> <p><u>To the extent appropriate</u> and with parental consent or consent of a student 18 years of age or older, the school district invites a representative of any participating agency that is likely to be responsible for providing or paying for transition services. If an agency invited to send a representative to a meeting does not do so, the district takes steps to involve the other agency in the planning of any transition services.</p>
5a. Is there evidence that the student was invited to the CSE meeting where transition services were discussed?		<input type="checkbox"/> Yes <input type="checkbox"/> No
<input type="checkbox"/> Yes <input type="checkbox"/> No Is there evidence that the student was invited to the CSE meeting where transition services were discussed (e.g., a letter inviting the student to the meeting)?		
<ul style="list-style-type: none"> • If yes, check "Yes" OR if no, check "No." 		
Source of Data/Comments:		

5b. If appropriate, is there evidence that a representative of any participating agency (that was or is likely to be responsible for providing or paying for transition services) was invited to the CSE meeting with the prior consent of the parent or student who has reached the age of majority (age 18)?		<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> NA
<input type="checkbox"/> Yes <input type="checkbox"/> No	Is there evidence that representatives of any of the following agencies/services were invited to participate in the IEP development, including but not limited to: postsecondary education, vocational education, integrated employment (including supported employment), continuing and adult education, adult services, independent living, or community participation for the postsecondary goals?	
<input type="checkbox"/> Yes <input type="checkbox"/> No	Was prior consent obtained from the parent (or student who has reached the age of 18)?	
<ul style="list-style-type: none"> • If yes to both, check "Yes." • If no invitation is evident and a participating agency is likely to be responsible for providing or paying for transition services and there was consent to invite them to the IEP meeting, check "No." • If it is too early to determine if the student will need outside agency involvement, or no agency is likely to provide or pay for transition services, check "NA." • If parent or individual student consent (when appropriate) was not provided, check "NA." 		
Source of Data/Comments:		

Individual Student Record Review Compliance Summary

Item #	Citation (8 NYCRR)	Compliance Questions	Determination of Compliance
1	§200.4(d)(2)(ix)(a)(2)	Questions 1a – 1c to determine compliance <ul style="list-style-type: none"> • If "Yes" is checked for Questions 1a, 1b, and 1c, check "Compliant" • If "No" is checked for Question 1a, 1b, or 1c, check "Noncompliant" 	<input type="checkbox"/> Compliant <input type="checkbox"/> Noncompliant
2	§200.4(d)(2)(ix)(a)(4)	Question 2a to determine compliance <ul style="list-style-type: none"> • If "Yes" is checked for Question 2a, check "Compliant" • If "No" is checked for Question 2a, check "Noncompliant" 	<input type="checkbox"/> Compliant <input type="checkbox"/> Noncompliant
3	§200.4(d)(2)(ix)(a)(3)	Question 3a to determine compliance <ul style="list-style-type: none"> • If "Yes" is checked for Question 3a, check "Compliant" • If "No" is checked for Question 3a, check "Noncompliant" 	<input type="checkbox"/> Compliant <input type="checkbox"/> Noncompliant
4	§200.4(d)(2)(iii)(a)	Question 4a to determine compliance <ul style="list-style-type: none"> • If "Yes" is checked for Question 4a, check "Compliant" • If "No" is checked for Question 4a, check "Noncompliant" 	<input type="checkbox"/> Compliant <input type="checkbox"/> Noncompliant
5	§200.4(d)(4)(i)(c)	Questions 5a and 5b to determine compliance <ul style="list-style-type: none"> • If "Yes" is checked for Questions 5a and 5b (or "NA" for 5b), check "Compliant" • If "No" is checked for either Question 5a or 5b, check "Noncompliant" 	<input type="checkbox"/> Compliant <input type="checkbox"/> Noncompliant

Compliance Summary Form

Directions: Use the results from the Individual Student Record Review Compliance Summary forms to determine compliance for each of the citations listed below. All student records reviewed must be marked in compliance in order to check "Yes."

Item #	Citation (8 NYCRR)	Regulatory Requirement	Are the transition components of all Individual Student Record Review Compliance Summary forms in compliance with the following State regulations?	
			Yes	No
1	§200.4(d)(2)(ix)(a)(2)	The IEP includes appropriate measurable postsecondary goals based upon age-appropriate transition assessments relating to training, education, employment, and, where appropriate, independent living skills.	<input type="checkbox"/>	<input type="checkbox"/>
2	§200.4(d)(2)(ix)(a)(4)	The IEP includes needed activities to facilitate the student's movement from school to post-school activities, including: instruction, related services, community experiences, the development of employment and other post-school adult living objectives, and when appropriate, acquisition of daily living skills and functional vocational evaluation.	<input type="checkbox"/>	<input type="checkbox"/>
3	§200.4(d)(2)(ix)(a)(3)	The IEP includes a statement of the transition services needs of the student that focuses on the student's courses of study.	<input type="checkbox"/>	<input type="checkbox"/>
4	§200.4(d)(2)(iii)(a)	The IEP shall list measurable annual goals , including academic and functional goals, consistent with the student's needs and abilities.	<input type="checkbox"/>	<input type="checkbox"/>
5	§200.4(d)(4)(i)(c)	If the purpose of a CSE meeting is to consider the postsecondary goals for the student and the transition services needed to assist the student in reaching those goals, the school district invites the student. If the student does not attend, the district takes steps to ensure that the student's preferences and interests are considered. <u>To the extent appropriate</u> and with parental consent or consent of a student 18 years of age or older, the school district invites a representative of any participating agency that is likely to be responsible for providing or paying for transition services. If an agency invited to send a representative to a meeting does not do so, the district takes steps to involve the other agency in the planning of any transition services.	<input type="checkbox"/>	<input type="checkbox"/>

**SPP Indicator 13 Secondary Transition Self-Review Monitoring Report
Due August 31**

Directions:

1. Go to the [PD Data System](http://pd.nysed.gov) webpage (http://pd.nysed.gov).
2. Log on using the same user id and password as assigned for PD data submissions.
3. Click on "Secondary Transition IEP Self-Review Monitoring Report."
4. Follow the on-line directions to complete the form.
5. Enter the district's identifying information.
6. Provide appropriate verification from the Superintendent of Schools or Chief School Officer that the information as reported is true and accurate.
7. Using documentation from the Compliance Summary Form (Attachment 4), click the box under the "Yes" or "No" column as appropriate for each regulatory requirement. All citations must have a compliance indication.
8. Click "Submit."
9. Print a copy after submitting to NYSED.
10. Maintain Attachment 5 with other documentation for this review.

School District Code: _____

School District Name: _____

Contact Person: _____

Email: _____

Telephone: _____

Statement of Verification of Accuracy

I verify that the information submitted in this report is accurate based upon the findings from the SPP 13 Secondary Transition Self-Review Monitoring process that was conducted on / / .

Signature of the Superintendent of Chief School Officer

Date submitted to NYSED: / /

Number of Youth with Records Containing Appropriate Transition Content

Directions:

To report on line C below, use the Individual Student Record Review Forms (Attachment 3) to total the number of individual record reviews for which all of the regulatory citations were marked in compliance.

Item	Data	Enter Quantity
A	Total number of students with IEPs aged 15-21 during the sample school year.	
B	Total number of student records reviewed.	
C	Total number of student records with all citations marked in compliance.	
D	Percentage of youth with records that include planning for, discussion of, recommendation for, and provision of transition services that will reasonably enable the student to meet his/her postsecondary goals (C divided by B).	System will calculate